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| STATE OF NORTH CAROLINA NC Education Lottery | REQUEST FOR INFORMATION NO. LC-61002 | |
| | Due Date: August 7, 2008 | |
| | Contract Type: Open Market | |
| Refer <u>ALL</u> Inquiries to: Michele Goff Telephone No. (919) 301-3433 | Commodity: BACKGROUND INVESTIGATIONS | |
| E-Mail: mgoff@lotterync.net | Using Agency Name: North Carolina Education Lottery | |

NOTICE TO VENDOR: Request for Information (RFI) will be received at this office at 2100 Yonkers Road, Raleigh, NC 27604 until **2:00 p.m.** on the day of opening and then opened.

QUESTIONS: Submit **written** questions by **12:00 noon EST, August 1, 2008**. Questions may be submitted by e-mail, fax or mail to:

Michele Goff
 North Carolina Education Lottery
 2100 Yonkers Road
 Raleigh, NC 27604
 919-301-3620 - Fax
 Email: mgoff@lotterync.net

MAILING INSTRUCTIONS: Mail only one Request for Information (RFI) per envelope. Address envelope and clearly note RFI number as shown below. It is the responsibility of the vendor to have the RFI in this office by the specified time and date of opening.

| <u>DELIVERED BY US POSTAL SERVICE</u> | <u>DELIVERED BY ANY OTHER MEANS</u> |
|--|---|
| RFI NO. _____ NORTH CAROLINA EDUCATION LOTTERY 56886 MAIL SERVICE CENTER RALEIGH, NC 27699-6886 | RFI NO. _____ NORTH CAROLINA EDUCATION LOTTERY 2100 YONKERS ROAD RALEIGH, NC 27604 |

EXECUTION:

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| VENDOR: | | FEDERAL ID OR SOCIAL SECURITY NO. | |
| STREET ADDRESS: | | P.O. BOX: | ZIP: |
| CITY & STATE & ZIP: | | TELEPHONE NUMBER: | TOLL FREE TEL. NO (800) |
| TYPE OR PRINT NAME & TITLE OF PERSON SIGNING: | | FAX NUMBER: | |
| AUTHORIZED SIGNATURE: | DATE: | E-MAIL: | |

PURPOSE OF REQUEST FOR INFORMATION (RFI) FOR BACKGROUND SERVICES

I. BACKGROUND

The North Carolina Education Lottery Act under 18C-120(b) (2) requires the NCEL to conduct a background investigation, including a criminal history record check, of applicants for employment with the NCEL, lottery contractors and vendors.

II. PURPOSE

The North Carolina Education Lottery (NCEL) intends to contract with independent contractor(s) who are trained and experienced in conducting national and international pre-employment, contractor and vendor background investigations. In addition, the contractor(s) will be responsible for updating backgrounds periodically on personnel, contractors and vendors already employed or providing service to the NCEL.

III. SPECIFICATIONS

A. VENDOR REQUIREMENTS

To be eligible for contract award, a Vendor must meet the following minimum qualifications:

- 1.) Vendor must currently own an Investigative business which is registered with the Office of the Secretary of State and the Office of the Attorney General Private Protective Service Division in North Carolina.
- 2.) Vendor employees assigned to conduct the background investigation shall have a minimum of 10 years of law enforcement **investigative** (detective/agent) experience, 10 years of private investigative experience or equivalent training and equal years of experience which demonstrates the capacity to handle the NCEL Security Division background requirements.
- 3.) Vendor must comply with all Federal, State and local rules and regulations as they apply to the work to be performed under this RFI.
- 4.) Vendor must provide a minimum of three (3) references from the past three years (3) for which work has been performed similar in scope and size to that specified in this RFI. References must be corporate or governmental entities with contact names and numbers.

| BUSINESS | CONTACT PERSON | TELEPHONE # |
|----------|----------------|-------------|
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- 5.) Vendors must provide written documentation/licenses detailing business registration with the Office of the Secretary of State and Office of the Attorney General Private Protective Services Division and **any** charge and/or action taken against the company.
- 6.) Vendor must provide a detailed description of information regarding any company bankruptcy proceedings against the company, directors or managers, any mergers, acquisitions, etc, and any name changes within the last (7) years. The vendor must provide a detailed description of information regarding any criminal investigations or charges filed against the company, directors or managers within the past ten (10) years.
- 7.) The NCEL reserves the right to obtain, from sources other than the Vendor, information concerning a Vendor, the Vendor's capabilities and performance under other contracts which the NCEL deems pertinent to this RFI and to consider such information in evaluating the vendors bid.
- 8.) Vendor must provide the NCEL a list of corporate or governmental agencies which the Vendor is currently conducting pre-employment background investigations for individuals, contractors or vendor's.

B. PERFORMANCE REQUIREMENTS

- 1.) The successful vendor must be capable of performing state, national and international background checks.
- 2.) The successful vendor must be available to accept and initiate work when requested. Complete investigative work within 72 hours unless mutually agreed upon by NCEL Director of Security and vendor.
- 3.) Background Investigations will be conducted in full compliance with NCEL format requirements and all accepted industry standards, the Fair Credit Reporting Act, and the Right to Financial Privacy Act. The work product will document follow-up interviews which clarify any criminal, credit and financial derogatory reports. Verification of education is required.
- 4.) Each background investigation will consist of, but not limited to, the following:
 - Verify the identity and citizenship status of applicant.
 - Verify claims of residence during the past 3 years through records and interviews.
 - Verify public records, bankruptcy, civil, financial and criminal actions.
 - Verify education.
 - Provide testimony at judicial and administrative hearings in which the NCEL is involved.

C. PERFORMANCE MEASUREMENTS

- 1.) Work product reviews will be conducted to access the contractor's performance and quality of service. This information shall play a role in determining renewals, contract expansion and contract termination.
- 2.) The NCEL will not approve of the successful vendor(s) to subcontract any portion of this work.

D. DURATION OF CONTRACT

Any contract resulting from this RFI shall be for the period of one (1) year commencing on the resulting contract start date. The NCEL shall have the option to extend the term of any contract(s) resulting from this RFI for up to four (4) one-year periods. The NCEL shall exercise its options by submitting written notice to the Vendor at least thirty (30) days prior to the termination.

E. ANTICIPATED QUESTIONS/ANSWERS FROM POTENTIAL VENDORS

1.) How many cases for investigation does the NCEL estimate per year?

Answer: 25 -30 pre-employment backgrounds
25 -30 post-employment backgrounds

2.) Will the NCEL provide a required report format or is that a vendor responsibility?

Answer: NCEL will provide.

3.) Does the NCEL desire a cost proposal reflecting bid for services on a "total, complete, single background" basis or on a "task-by-task" basis?

Answer: NCEL recognizes that backgrounds on potential employees that have lived in numerous states will be more detailed and costly. A cost proposal for in-state backgrounds which reflects a "total, complete, background" would be sufficient. However, a cost plus figure may be required for an out of state applicant.

IV. RFI PROCEDURES

A. SCHEDULE

Responses must be received by the date and time and the location specified on the cover sheet of this RFI. Respondents may also be required to come to NCEL to present and discuss their submissions. Respondents will be notified of the specific date and time at least one week in advance of their presentation.

B. CLARIFICATION QUESTIONS

Clarification questions will be accepted until **12:00 noon EST, August 1, 2008** as specified on the cover sheet of this RFI. All questions must be submitted in writing. An addendum containing any general clarification questions and their answers will be issued as an addendum to this RFI. Answers will be posted on the NCEL website at http://lottery.nc.gov/vendor_information.aspx and Purchase & Contract's Interactive Purchasing System (IPS) website at <http://www.ips.state.nc.us/ips/deptbids.asp>.

C. VENDOR RESPONSE

The NCEL recognizes that considerable effort will be required in preparing a response to this RFI. **Please note, however that this is a request for information only and not a request for services.** The vendor must bear all costs of preparing this RFI.

D. CONTENT AND FORMAT

The NCEL expects concise, detailed, point-by-point responses to each of the RFI response items. The NCEL is not interested in brochures, videos or "boilerplates". Instead, the response should clearly define how the vendor's proposed service(s) would meet the department's requirements. Any issues or exceptions to the NCEL's requirements should also be identified and explained.

E. MULTIPLE RESPONSES

Multiple responses will be accepted from a single vendor provided that each response is comprehensive, meets all of the NCEL's requirements and is truly unique. Please clearly mark responses as "Response #1", "Response #2", etc.

The NCEL invites all interested vendors to respond to this RFI. Information obtained from these responses may be used by the NCEL in preparation of future Invitations for Bid for such products/services.

V. QUESTIONS

Vendors responding to this RFI shall furnish written responses to the following questions by the deadline listed above.

- 1.) Has your agency ever provided any services to any Lottery? YES _____ NO _____

IF YES, PLEASE LIST JURISDICTION AND SERVICES PROVIDED:

- 2.) How long has your agency been in business?

- 3.) How many pre-employment background investigations for individuals has your agency conducted over the last 3 years? PROVIDE A SAMPLE OF THE WORK PRODUCT.

- 4.) How many corporation background investigations has your agency conducted over the last 3 years? PROVIDE A SAMPLE OF THE WORK PRODUCT.

- 5.) How many complaints have been filed against you, your agency, or employees over the past ten (10) years with the oversight agency for Private Investigators in your state? List each one separately and provide detailed case file notes from the oversight agency.

- 6.) Have you ever been arrested? YES _____ NO _____

IF YES, PLEASE EXPLAIN:

- 7.) Have you ever been charged with a gambling offense? YES _____ NO _____

IF YES, PLEASE EXPLAIN:

COST PROPOSAL

IN STATE:

Cost per Hour \$ _____

Background (Refer to page 3, Item III, B., 4.) \$ _____

Civil \$ _____

Criminal \$ _____

Driver History \$ _____

Education \$ _____

Financial \$ _____

OUT OF STATE:

Cost per Hour \$ _____